# **SEST AVAILABLE COPY**

## FORM PTO-1449 TO BE FILED WITH INFORMATION DISCLOSURE STATEMENT

U.S. Department of Commerce Patent and Trademark Office

Atty. Docket No. BLO1134-006D Serial No. Not Yet Assigned

Anderson, et al.

INFORMATION DISCLOSURE STATEMENT Applicants

BY APPLICANTS

August 17, 2001 Filing Date

2673

Group Art Unit

Examiner's name

#### **U.S. PATENT DOCUMENTS**

Examiner's	Document	Date	Name	Class/Sub-
Initial	Number			class
011	5,136,716	08/1992	Harvey et al.	395/800
02	5,283,829	02/1994	Anderson	380/24
10	5,383,113	01/1995	Kight, et al.	395/240
02	5,425,028	06/1995	Britton et al.	370/94.1
CNO	5,434,974	07/1995	Loucks et al.	395/200
957	5,437,029	07/1995	Sinha	395/600
CP	5,570,465	10/1996	Tsakanikas	395/114
18	5,590,197	12/1996	Chen, et al.	380/24
367	5,668,952	09/1997	Slane	395/200.75
19	5,706,442	01/1998	Anderson et al.	395/227
Rep.	5,727,158	03/1998	Bouziane et al.	395/200.55
400	5,729,689	03/1998	Allard et al.	395/200.58
90	5,812,776	09/1998	Gifford	395/200.47

#### FOREIGN PATENT DOCUMENTS

Examiner's Initial	Document Number	Date	Country/Name	Translation? yes/no
None				<u> </u>

OTHER DOCUMENTS

1.

Sirbu, et al., "NetBill: An Internet Commerce System Optimized for Network-Delivered Services", IEEE Personal Communications, Vol. 2, Issue 4, Aug. 1995, pp. 34 - 39.

Slone et al., "Handbook of Local Area Networks", Auerbach Publications, 1991 (ISBN 0-7913-0868-5).

Examiner PROBODH DHARIA	Date Considered	09/02	104
	<u> </u>		<u> </u>

Examiner: Initial if citation considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

The identification of any document herein is not intended to be, and should not be understood as being, an admission that each such document, in fact, constitutes "prior art" within the meaning of applicable law since, for example, a given document may have a later effective date than at first seems apparent or the document may have an effective date which can be antedated. The "prior art" status of any document is a matter to be resolved during prosecution.

#### CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8 (A)

Date of Deposit: August 17, 2001

I hereby certify that this correspondence is being deposited with the U.S. Postal Service as Express Mail No. EL622260879US, in an envelope addressed to Assistant Commissioner for Patents, Box Patent Application, Washington, D.C. 20231.

Offeri L. Burke



#### FORM PTO-1449 TO BE FILED WITH INFORMATION DISCLOSURE STATEMENT

U.S. D	epartment of	Commerce
Patent	and Tradema	rk Office

Atty. Docket No. BLO1134-006D Serial No.09/932,373

RECEIVED

INFORMATION **DISCLOSURE STATEMENT**  Anderson et al. Applicant

JAN 1 4 2003

BY APPLICANTS

August 17, 2001 Filing Date

Technology Center 2100

Group Art Unit

#### **U.S. PATENT DOCUMENTS**

Examiner's	Document	Date	Name	Class/Sub-
Initial	Number		•	class
0	4,346,442	08/24/1982	Musmanno	364/408
No.	4,727,243	02/23/1988	Savar	235/379
09	4,823,122	04/18/1989	Mann et al.	340/825.28
10	4,975,904	12/04/1990	Mann et al.	370/85.1
#	4,975,905	12/04/1990	Mann et al.	370/85.1
a g	5,058,108	10/15/1991	Mann et al.	370/85.1
Plan	5,187,787	02/16/1993	Skeen et al.	395/600
19	5,220,501	06/15/1993	Lawlor et al.	364/408
AST	5,230,048	07/20/1993	Moy	395/600
19	5,257,369	10/26/1993	Skeen et al.	395/650
19	5,336,870	08/09/1997	Hughes et al.	235/379
39	5,339,392	08/16/1994	Risberg et al.	395/161
3	5,351,186	09/27/1994	Bullock et al.	364/401
19	5,404,523	04/04/1995	DellaFera et al.	395/650
Dy	5,455,903	10/03/1995	Jolissaint et al.	395/155
10	5,457,797	10/10/1995	Butterworth et al.	395/650
19	5,528,490	06/18/1996	Hill	364/403
1	5,535,407	07/09/1996	Yanagawa et al.	395/800
(3)	5,590,133	12/31/1996	Billstrom et al.	370/349
8	5,611,052	03/11/1997	Dykstra et al.	395/238
R	5,659,731	08/19/1997	Gustafson	395/604
03	5,696,965	12/09/1997	Dedrick	395/610
80	5,701,451	12/23/1997	Rogers et al.	395/600
Cu	5,706,434	01/06/1998	Kremen et al.	395/200.09
02	5,708,825	01/13/1998	Solomayor	395/762
Per	5,745,654	04/28/1998	Titan	395/22
	5,749,075	05/05/1998	Toader et al.	705/14
	5,754,850	05/19/1998	Janssen	395/615

	5,797,133	08/18/1998	Jones et al.	705/38
A SO	5,842,185	11/24/1998	Chancey et al.	705/40
10	5,870,721	02/09/1999	Norris	705/38
20	5,878,403	03/02/1999	DeFrancesco et al.	705/38
90	5,924,082	07/13/1999	Silverman et al.	705/37
10	5,940,811	08/17/1999	Norris	705/38
100	5,966,699	10/12/1999	Zandi	705/38
1	5,995,947	11/30/1999	Fraser et al.	705/38
A STATE OF THE STA	6,014,645	01/11/2000	. Cunningham	705/38
200	6,023,684	02/08/2000	Pearson	705/35
	6,131,115	10/10/2000	Anderson et al.	709/217
12	_ 6,199,077	03/06/2000	Inala et al.	707/501
A12	6,278,993	08/21/2001	Kumar et al.	707/3
(4)	6,317,783	11/13/2001	Freishtat et al.	709/218

### FOREIGN PATENT DOCUMENTS

Examiner's	Document	Date	Country/Name	Translation?
Initial	Number			yes/no
	NONE			

#### OTHER DOCUMENTS

OF STREET

"American Express Services Go On-Line." Mergers & Acquisitions, v.29, n.5, p.8, March 1995.

9

"Banks Offer Customers Internet Access." <u>Multimedia Daily</u>, 22 May 1995. ISSN:: 1079-4212.

- Everest, Gordon C. <u>Database Management</u>, Mc-Graw-Hill Series in Management Information Systems, 1986. ISBN: 0-07-019781-4.
- "ExpressNet Bows (American Express Launches Online Service Called ExpressNet)."
  - Information Week, n.514, p.17, 13 February 1995.
- Miailovich, Jill. "QuickXpense Introduces Automatic Pre-Population of Expense Reports," <u>Business Wire</u>, s. 1, p. 1, 8 May 1995.

6. "Online Service Allows Account Review (Block Financial Corp.)." Card News, v.9, n.21, p.3, 31 October 1994.

"User's Guide for Quicken." (Version 2 for Windows), Intuit, p.206, 1992.

"On-Line Services Give Account Holders Transaction Info." Newsbytes News Network,

2 February 1995.

Zutell, Irene. "AMEX Says On-Line Booking Keeps Travel Agents in the Loop," <u>Travel</u>

Agent, 6 February 1995. ISSN: 1053-9360.

Examiner PRABODY MONARIA Date Considered 89/04/04

Examiner: Initial if citation considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

The identification of any document herein is not intended to be, and should not be understood as being, an admission that each such document, in fact, constitutes "prior art" within the meaning of applicable law since, for example, a given document may have a later effective date than at first seems apparent or the document may have an effective date which can be antedated. The "prior art" status of any document is a matter to be resolved during prosecution.



# FORM PTO-1449 TO BE FILED WITH INFORMATION DISCLOSURE STATEMENT

J.S. Department of Commerce atent and Trademark Office		Atty. Docket No. Bl	<u> </u>	rial No. <u>09/932,373</u>
atent and 1 rader	mark Office		•	RECEIV
		Anderson, et al.		1120217
NFORMATION DISCLOSURE STATEMENT		Applicants	<del></del>	AUG 1 5 2
			2673	
Y APPLICANT		August 17, 2001	2152	<ul> <li>Technology Cent</li> </ul>
		Filing Date	Group Art	Unit
	•		PEABODY!	
			-Mark Ru	
	•		Examiner'	s name
· · · · · · · · · · · · · · · · · · ·			TON LINE	
Examiner's	Document	S. PATENT DOCUM	Name	Class/Sub-
Initial	Number	Date	наше	class/Sub-
10100	Mamber		None	CIASS
<del></del>			1,0110	
Examiner's Initial	Document Number	Date	Country/Name	Translation? yes/no
		1	None	
None				
None				
		OTHER DOCUMEN	-	·
The Cushi		Introduction to Distribu	ted Client/Server Co	
The Cushi			ted Client/Server Co	
The Cushi ObjectBro	ker," ObjectWorl	Introduction to Distribuld San Francisco, July 1	ted Client/Server Co 994 (PowerPoint sli	des)
The Cushi ObjectBro The Cushi	ker," ObjectWorking Group, Inc., "	Introduction to Distributed San Francisco, July 1 Using CORBA to Integ	ted Client/Server Co 994 (PowerPoint sli	des)
The Cushi ObjectBro The Cushi	ker," ObjectWorking Group, Inc., "	Introduction to Distribuld San Francisco, July 1	ted Client/Server Co 994 (PowerPoint sli	des)
The Cushi ObjectBro The Cushi Boston, M	ker," ObjectWorking Group, Inc., " arch 22, 1995 (Pe	Introduction to Distributed San Francisco, July 1 Using CORBA to IntegowerPoint slides)	ted Client/Server Co 994 (PowerPoint sli rate Legacy System	des) s," ObjectWorld
The Cushi ObjectBro The Cushi Boston, M	ng Group, Inc., " arch 22, 1995 (Peng Group, Inc., "	Introduction to Distributed San Francisco, July 1 Using CORBA to IntegrowerPoint slides) Lessons Learned Deplo	ted Client/Server Co 994 (PowerPoint sli rate Legacy Systems ying a Large-Scale I	des) s," ObjectWorld Distributed Object
The Cushi ObjectBro The Cushi Boston, M The Cushi Computing	ker," ObjectWorking Group, Inc., " [arch 22, 1995 (Pong Group, Inc., " [g Environment," of	Introduction to Distributed San Francisco, July 1 Using CORBA to IntegrowerPoint slides) Lessons Learned Deplo Object World Boston, M	ted Client/Server Co 994 (PowerPoint sli rate Legacy Systems ying a Large-Scale I lay 1996 (PowerPoint	des) s," ObjectWorld Distributed Object at slides)
The Cushi ObjectBro The Cushi Boston, M The Cushi Computing	ker," ObjectWorking Group, Inc., " [arch 22, 1995 (Pong Group, Inc., " [g Environment," of	Introduction to Distributed San Francisco, July 1 Using CORBA to IntegowerPoint slides) Lessons Learned Deplo Object World Boston, Market S. Townsend, "Prese	ted Client/Server Co 994 (PowerPoint sli rate Legacy Systems ying a Large-Scale I lay 1996 (PowerPoint	des) s," ObjectWorld Distributed Object at slides)

P1. 92. 91.

Berkov, Barry, "CompuServe." Keynote address given at Internet Telecom 95. Geneva Arena, Geneva, Switzerland, Oct. 8, 1995.

Birrel, A. D., and Nelson, B., "Implementing Remote Procedure Calls," ACM Transactions on Computer Systems, Vol. 2, No. 1, pp.39-59 (1984).

Business Example: A Case Study. Slide Show. US: The Cushing Group, Inc., 1994-1997.

CORBAservices specification - v1.0, March 1995. Available as pdf from <a href="http://cgi.omg.org/cgi-bin/doc?formal/97-02-08.pdf">http://cgi.omg.org/cgi-bin/doc?formal/97-02-08.pdf</a>. Last access 1/30/03.

"DCE Means Business", Kathryn E. DeNitto, DCE Technology Manager, 20 March 1995, <a href="http://www.opengroup.org/dce/">http://www.opengroup.org/dce/</a>, last accessed February 26, 2003.

(Distributed Application Software: Architecture and Design . Slide Show. US: The Cushing Group, Inc., 1992-1993.

Edwards, Jeri, with Deborah DeVoe, "Wells Fargo Leads the Way to Internet Banking."

<u>Three-Tier Client/Server at Work</u> 1997:107-130 (Ch. 6)

Edwards, Nigel, and Owen Rees, "Distributed Objects and the World Wide Web." (ANSA) Cambridge, UK, Architecture Projects Mgmt., Ltd., Aug. 24,1994.

Samuel C. Kendall, Jim Waldo, Ann Wollrath and Geoff Wyant, "A Note on Distributed Computing", TR-94-29, Sun Microsystems, <a href="http://research.sun.com/techrep/1994/abstract-29.html">http://research.sun.com/techrep/1994/abstract-29.html</a>, last access 2/24/03.

Orbix Advanced Programmer's Guide, Release 1.3. 1. Dublin, Ireland: IONA Technologies, Ltd., Feb. 1995.

The Orbix Architecture. Dublin, Ireland: IONA Technologies, Ltd., Aug. 1993.

Orbix.Programmer's Guide, Release 1.3. Dublin, Ireland: IONA Technologies, Ltd., Apr. 1995.

"Remote Procedure Call in a Distributed Computing Environment", The Open Software Foundation, 1990, <a href="http://www.mit.bme.hu/~kiss/docs/dce/rpc.html">http://www.mit.bme.hu/~kiss/docs/dce/rpc.html</a>, last accessed February 26, 2003.

Ronayne, Michael L., and Erik S. Townsend, "A Case Study: Distributed Object Technology at Wells Fargo Bank" (Cushing Group white paper) US:The Cushing Group, Inc., 1996.

Sirbu, Marvin, and J.D. Tygar, WetBill: An Internet Commerce System Optimized for Network-Delivered Services." IEEE Personal Communications, August 1995:34-39. Smith, Mark, "Interview with Bruce MacNaughton." Windows & Net Magazine Nov. 1996. Mar. 6,2003 <a href="http://www.winnetmag.com/Articles/Index.cfm?">http://www.winnetmag.com/Articles/Index.cfm?</a> ArticleID=2823>. Thomas, Gomer, ANSA Phase III: Trader Implementation with Orbix & ALLBASE (TC Talk, June 1994). Cambridge, UK: Architecture Projects Mgmt. Ltd. Sept. 2, 1994. Truncale, David, "CompuServe Brings NT Online." Windows & Net Magazine, Nov. 1996. Mar. 6, 2003 <a href="http://www.winnetmag.com/Articles/Index.cfm">http://www.winnetmag.com/Articles/Index.cfm</a>? ArticleID=2822>. Wells Fargo Bank is First to Offer Customers Internet Access to Bank Account Balances. San Francisco, CA: Wells Fargo Bank, May 18, 1995. Seybold, Patricia, "Chapter 6 - Provide a 360-Degree View." Customers.com: How to Create a Profitable Business Strategy for the Internet and Beyond. Toronto:Random House, 1998. 193-213. Ronayne, Michael L., The Business Case for Distributed Computing. (Object World) San Francisco, CA: The Cushing Group, Inc., Aug. 1995.

Examiner Date Considered

Examiner: Initial if citation considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

The identification of any document herein is not intended to be, and should not be understood as being, an admission that each such document, in fact, constitutes "prior art" within the meaning of applicable law since, for example, a given document may have a later effective date than at first seems apparent or the document may have an effective date which can be antedated. The "prior art" status of any document is a matter to be resolved during prosecution.

CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8 (A)

Date of Deposit: August 11, 2003

I hereby certify that this correspondence is being deposited with the U.S. Postal Service with sufficient postage, addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Kim B. Powers

# This Page is Inserted by IFW Indexing and Scanning Operations and is not part of the Official Record

# **BEST AVAILABLE IMAGES**

Defective images within this document are accurate representations of the original documents submitted by the applicant.

Defects in the images include but are not limited to the items checked:

BLACK BORDERS
☐ IMAGE CUT OFF AT TOP, BOTTOM OR SIDES
☐ FADED TEXT OR DRAWING
☐ BLURRED OR ILLEGIBLE TEXT OR DRAWING
☐ SKEWED/SLANTED IMAGES
☐ COLOR OR BLACK AND WHITE PHOTOGRAPHS
☐ GRAY SCALE DOCUMENTS
☐ LINES OR MARKS ON ORIGINAL DOCUMENT
☐ REFERENCE(S) OR EXHIBIT(S) SUBMITTED ARE POOR QUALITY
□ other:

## IMAGES ARE BEST AVAILABLE COPY.

As rescanning these documents will not correct the image problems checked, please do not report these problems to the IFW Image Problem Mailbox.